

21 January 2004

**HRSC-SW Operating Procedure 12451.2a**

Subj: PROCESSING AWARDS AND PERFORMANCE BASED PAY ACTIONS

Ref: (a) DODCPM 1400.25M, Subchapter 451  
(b) SECNAVINST 12451.3  
(c) 5 CFR 531  
(d) DoN Guide No. 451-01  
(e) HRSC-SW-OP 12430.3 of 25 Jun 03

Encl: (1) DCPDS Report Request Form

1. **Purpose.** To establish procedures for processing awards, including mass award processing.
2. **Cancellation.** HRSC-SW SOP 12451.2 of 25 June 2003
3. **Scope.** These procedures apply to all activities serviced by the Human Resources Service Center, Southwest (HRSC-SW).
4. **Background.** References (a) and (b) provide guidance for employees with performance, special act, time-off, beneficial suggestion, invention, gainsharing and honorary awards. Reference (c) establishes the regulatory authority for Quality Step Increases (QSI). Reference (d) transmits guidance on the implementation of awards programs within the Department of Navy. While management, with the assistance of the HRO, determines the appropriate award or award amount, these awards require the initiating of a Notification of Personnel Action (SF-50) or higher level review and approval. Information on Demonstration Project performance based pay adjustments is located in reference (e). Award documentation/justification should be maintained in the Employee Performance File (EPF) or other appropriate file.
5. **Procedures.** The HRSC-SW and the customers it serves are responsible for executing the procedures outlined below:
  - a. **HRSC-SW Responsibilities:**
    - (1) Review and process approved special act, time-off, beneficial suggestion, invention and productivity gainsharing award nominations via Request for Personnel Action (RPA). Requests for awards that do not meet regulatory requirements (i.e., level of approval and award amount limit) will be returned to management via the HRO.
    - (2) Review requests for QSIs for regulatory requirement. Process approved performance awards and QSIs via an RPA. If performance award exceeds 10% of base pay and/or \$5,000 and approval by higher level authority has not been certified on the RPA, contact the HRO to obtain approval.
    - (3) Process mass awards submitted electronically via spreadsheet. Awards exceeding \$5,000 or 10% of base pay will not be processed as a mass award.

- (4) Process, print and distribute employee SF-50s via the HRO.
- (5) Discuss and resolve problems concerning QSIs, Time-off, and cash awards with the HRO.
- (6) Provide Length of Service (LOS) data to HROs as requested.

b. **HRO Responsibilities:**

- (1) Provide advisory services to management and employees on awards program requirements and related awards issues.
- (2) Assist management in budgeting for awards, as required per local policy.
- (3) Coordinate activity nominations for honorary awards (i.e., Meritorious Civilian Service Award, Distinguished Civilian Service Award, etc.), and forward through the appropriate chain of command to the approving authority. If approved, file a copy of the nomination and approving document in the employee's EPF or other appropriate file.
- (4) Receive award nominations from managers/supervisors. Review award nominations for compliance with activity policy. Submit approved cash and time-off awards to the HRSC-SW Code 53 on an RPA. Ensure that special local award remarks and/or required job order numbers are entered in the notepad of the RPA.
- (5) Submit approved QSIs to the HRSC-SW Code 43 Team on an RPA. QSIs will be effective as soon as regulatorily possible after the approval date.
- (6) For awards involving 25 or more employees, complete the "DCPDS Report Request Form", enclosure (1), and submit it to the HRSC-SW Code 20. A spreadsheet will then be provided and forwarded to the requestor for completion of award information needed in order to process the mass award upload. Employees listed that are not receiving an award must be deleted from the spreadsheet. It is recommended that this process be used in order to avoid typographical errors that may occur (i.e., social security number, name, Unit Identification Code {UIC}, etc.) which could result in errors during the mass processing. Other acceptable forms include a spreadsheet in the exact format listed below. The spreadsheet must contain columns with the following information:

(a) Social Security Number

(b) Award Effective Date. (Example: 29-JUN-2003) Note: If more than one award is given to the same employee, the effective dates must be different.

(c) NOA Code (840=Individual Cash, 841=Group Cash, 846=Individual Time Off, 847=Group Time Off)

(d) Award amount (Example: 500)

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(e) Award Unit of Measure: (M=Money H=Hours)

(f) Blank Column

(g) Agency Code (NV=Navy)

(h) Award Type (06=Special Act, 80=Time Off, 9L=Performance, 60=On-the-Spot).

(i) Award Effective Date (Example: 29-JUN-2003)

(j) Name of employee

(k) UIC

(l) PP, Series, Grade

(7) Submit the completed spreadsheet electronically to HRSC-SW Code 20 for mass processing of awards.

(8) For individual cash awards over \$5,000 or in excess of 10% of base pay, submit an RPA to the HRSC-SW, Code 53 team. Certify on the RPA that the higher-level authority has approved the amount in accordance with the requirements of reference (d).

(9) For group cash awards, indicate the dollar amount to be distributed to each member of the group.

(10) Prepare letters, plaques, certificates, and other mementos or assist the activity in doing so.

(11) Coordinate Length of Service (LOS) awards per local policy. Obtain and maintain inventory of pins and certificates, or assist the activity in doing so.

(12) Resolve problems concerning the payment of cash awards and/or QSIs to the HRSC-SW.

c. **Management Responsibilities:**

(1) Budget for awards per reference (a).

(2) Initiate and approve awards.

(3) Contact the HRO for advice and guidance on awards, including mass award processing.

6. **Effective Date:** 21 January 2004

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**DCPDS REPORT REQUEST FORM**

Email request to:

[HRSCSW.C20REQUESTS@navy.mil](mailto:HRSCSW.C20REQUESTS@navy.mil)**DO NOT MARK PRIVATE**1. ☐ New Report ☐ Re-Run/Modification of Existing Report ID:

2. Selection Criteria:

List UIC(s)/Command: \_\_\_\_\_

List Organization Codes: \_\_\_\_\_

Employee Type: ☐ Perm & Temp & Term ☐ Perm ONLY ☐ Temp ONLY ☐ Term ONLY

Other Selection Criteria: \_\_\_\_\_

3. Data Requested on Report (e.g. Name, SSAN, PP-SER-GD, Psn Title etc.) List the order they should appear on the report.

4. How do you want the report sorted? \_\_\_\_\_

5. Purpose for report: \_\_\_\_\_

6. Report Format:

☐ PDF (Read Only)  
☐ Text☐ Excel  
☐ CSV ( Comma Separated Value)

7. Frequency of Report:

☐ As Requested  
☐ Monthly☐ Weekly  
☐ Quarterly☐ BiWeekly  
☐ Annually

8. Requestor:

Phone Number: \_\_\_\_\_

☐ DSN

Activity: \_\_\_\_\_

Email Address: \_\_\_\_\_

**HRO AUTHORIZATION/APPROVAL (REQUIRED)**

Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

EMail Address: \_\_\_\_\_

DSN: \_\_\_\_\_

**HRSC-SW CODE 20 USE**

Date Received: \_\_\_\_\_

Report ID: \_\_\_\_\_

Date Completed: \_\_\_\_\_

Folder: \_\_\_\_\_

Initials: \_\_\_\_\_

Comments/Notes: \_\_\_\_\_

Encl (1)